



MEMORANDUM

Date: Date

To: Department
Address
City, State, Zip

Attn: PCO Name & Title
Division, Branch, or Office

From: Purchasing Authority Management Section, Acquisitions Branch
Procurement Division, Department of General Services

Subject: **PURCHASING PROGRAM COMPLIANCE REVIEW**
Review Period: Date - Date
Review Conducted: Dates

In accordance with Public Contract Code Sections 10333(b) and/or 12101 and State Administrative Manual Section 5210.1, the Procurement Division (PD) conducted a purchasing program compliance review of the [Department Name] (XXX). The review was conducted to determine the extent of adherence to statutory, policy, and/or guideline requirements. The review also considered acquisition quality issues and aspects of good business management. The review findings and recommendations are included in this document. If you have any questions or need additional information, please contact the Acquisition Compliance Specialist that conducted the compliance review as indicated in the signature section of this report.

Goods Base Delegation []		IT Base Delegation []		Goods Expanded Delegation [] Goods Special Delegation []		Other Programs	
Total Reported:		Total Reported:		Total Reported:			
Total Reviewed:		Total Reviewed:		Total Reviewed:			
Total # < \$5,000		Total # < \$5,000		Total # < \$100,000		Total # CMAS Goods/IT Orders Reviewed	
Total # \$5,000 - \$25,000		Total # \$5,000 - < \$100,000		Total # \$100,000 - \$500,000		Total # Master Agreement Orders Reviewed	
Total # > \$25,000		Total # \$100,000 - 500,000		Total > \$500,000		Total # Statewide Contract Orders Reviewed	
Total # NCB		Total # > \$500,000		Total # NCB		Total # State Price Schedule Orders Reviewed	
Total # GC 14838.5		Total # NCB				Total # WSCA Orders Reviewed	
		Total # GC 14838.5				Total # CAL-Card Statements/ Transactions Reviewed	
						Total # Invoices Reviewed	

Scope of Review:

- Transactions from the following programs were reviewed as applicable to XXX's purchasing program:
 - Goods Base Delegated Purchasing Authority
 - Goods Expanded Delegated Purchasing Authority
 - Information Technology Base Delegated Purchasing Authority
 - California Multiple Awards Schedules (CMAS)
 - Master Agreements
 - Statewide Contracts
 - State Price Schedules
 - Western States Contracting Alliance (WSCA)
 - CAL-Card
- Invoices were reviewed for payment processing compliance.
- The current review encompassed purchase transactions for the period [date] through [date].
- The last compliance review of XXX's purchasing activities was conducted in [month & year].
- The findings and recommendations contained in this report are based on those transactions reviewed during the current review.

Findings/Recommendations Summary:

1. **General.** Insert Summary Text. See Appendix A, attached.
2. **Goods Base Delegated Purchasing Authority.** Insert Summary Text. See Appendix B, attached.
3. **Goods Expanded Delegated Purchasing Authority.** Insert Summary Text. See Appendix C, attached.
4. **Information Technology Base Delegated Purchasing Authority.** Insert Summary Text. See Appendix D, attached.
5. **CMAS Orders.** Insert Summary Text. See Appendix E, attached.
6. **Master Agreement Orders.** Insert Summary Text. See Appendix F, attached.
7. **Statewide Contract Orders.** Insert Summary Text. See Appendix G, attached.
8. **State Price Schedule Orders.** Insert Summary Text. See Appendix, attached.
9. **Western States Contracting Alliance Orders.** Insert Summary Text. See Appendix I, attached.
10. **CAL-Card Transactions.** Insert Summary Text. See Appendix J, attached.

Conclusion:

[Enter conclusion]

As always, the staff of the Purchasing Authority Management Section (PAMS) is available to provide advice on acquisition laws, policies, and procedures and can put you in touch with the Procurement Division's California Acquisition and Materials Management Institute (CAMMI) for procurement training classes.

Review Conducted By:	Unit and Phone Number	Date
Reviewer Name, Acquisition Specialist	Purchasing Authority Management Section Compliance Unit Procurement Division (916) XXX-XXXX	
Procurement and Contracting Officer:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Delegation Contact:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Additional Participants:	Unit and Phone Number	Date
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	
Name, Title	Division, Branch or Office Department (XXX) XXX-XXXX	

GENERAL				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Agency Order Number.</u>		
2.		<u>Consideration of DVBE/Small Businesses.</u>		
3.		<u>Contract Award Report.</u>		
4.		<u>File Documentation, Structure, and Access.</u>		
5.		<u>Payee Data Record.</u>		
6.		<u>Payment.</u>		
7.		<u>Purchase Order.</u>		
8.		<u>Purchases Under GC Section 14838.5.</u>		
9.		<u>Stock Received Report.</u>		
10.		<u>Transaction Reporting.</u>		

GOODS BASE DELEGATED PURCHASING AUTHORITY				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Bid Lists.</u>		
4.		<u>Bidders Instructions.</u>		
5.		<u>Bids.</u>		
6.		<u>Delegation Number.</u>		
7.		<u>Fair and Reasonable Documentation.</u>		
8.		<u>General Provisions/Clauses.</u>		
9.		<u>Non-Competitively Bid (NCB) Transaction Justification.</u>		
10.		<u>Preference Application-Small Business.</u>		
11.		<u>Split Orders.</u>		
12.		<u>Transaction Forms.</u>		

GOODS EXPANDED DELEGATED PURCHASING AUTHORITY				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Advertising and Posting/Bidder Lists.</u>		
2.		<u>Approvals.</u>		
3.		<u>Authority.</u>		
4.		<u>Award/Award to Other Than Low Bidder and Notice.</u>		
5.		<u>Bid Date/Time and Opening.</u>		
6.		<u>Bidders Instructions.</u>		
7.		<u>Bids.</u>		
8.		<u>Delegation Number.</u>		
9.		<u>Disabled Veteran Business Enterprise.</u>		
10.		<u>Evaluation.</u>		
11.		<u>General Provisions/Clauses.</u>		
12.		<u>Interested Suppliers.</u>		
13.		<u>Non-Competitively Bid (NCB) Transaction Justification.</u>		
14.		<u>Notice of Contract Award (NCA).</u>		
15.		<u>Preference Application-Small Business.</u>		
16.		<u>Preference Application-EZA/LAMBRA/TACPA.</u>		
17.		<u>Progress Payments.</u>		
18.		<u>Protest.</u>		

19.		<u>Solicitation/Specifications.</u>		
20.		<u>Split Orders.</u>		
21.		<u>Supplier Base Management Reporting.</u>		
22.		<u>Transaction Forms.</u>		

INFORMATION TECHNOLOGY BASE DELEGATED PURCHASING AUTHORITY				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Advertising.</u>		
2.		<u>Approvals.</u>		
3.		<u>Authority.</u>		
4.		<u>Bid Lists.</u>		
5.		<u>Bidders Instructions.</u>		
6.		<u>Bids.</u>		
7.		<u>Delegation Number.</u>		
8.		<u>Fair & Reasonable Documentation.</u>		
9.		<u>General Provisions/Clauses.</u>		
10.		<u>Model Contract Language.</u>		
11.		<u>Non-Competitively Bid (NCB) Transaction Justification.</u>		
12.		<u>Notice of Contract Award (NCA).</u>		
13.		<u>Preference Application-Small Business.</u>		
14.		<u>Preference Application-EZA/LAMBRA/TACPA.</u>		
15.		<u>Protest.</u>		
16.		<u>Solicitation Method.</u>		
17.		<u>Split Orders.</u>		
18.		<u>Statement of Work.</u>		
19.		<u>Transaction Forms.</u>		

CMAS Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Best Value Determination & Documentation.</u>		
4.		<u>Bundled Pricing.</u>		
5.		<u>Contract Number.</u>		
6.		<u>Contract Documentation.</u>		
7.		<u>Fair & Reasonable Documentation/Price Negotiations.</u>		
8.		<u>Multiple Contracts.</u>		
9.		<u>Not Specifically Priced (NSP) Items.</u>		
10.		<u>Notice of Contract Award.</u>		
11.		<u>Offers.</u>		
12.		<u>Order Limits.</u>		
13.		<u>Split Orders.</u>		
14.		<u>Statement of Work.</u>		
15.		<u>Terms and Conditions.</u>		
16.		<u>Transaction Forms.</u>		

Master Agreement Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Best Value Determination & Documentation.</u>		
4.		<u>Contract Number.</u>		
5.		<u>Contract Documentation.</u>		
6.		<u>Fair & Reasonable Documentation.</u>		
7.		<u>Notice of Contract Award.</u>		
8.		<u>Offers.</u>		
9.		<u>Split Orders.</u>		
10.		<u>Statement of Work.</u>		
11.		<u>Terms and Conditions.</u>		

Statewide Contract Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Contract Number.</u>		
4.		<u>Contract Documentation.</u>		
5.		<u>Terms and Conditions.</u>		

State Price Schedule Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Contract Number.</u>		
3.		<u>Contract Documentation.</u>		
4.		<u>Split Orders.</u>		
5.		<u>Terms and Conditions.</u>		

Western States Contracting Alliance Orders				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Approvals.</u>		
2.		<u>Authority.</u>		
3.		<u>Bundled Pricing.</u>		
4.		<u>Contract Number.</u>		
5.		<u>Contract Documentation.</u>		
6.		<u>Statement of Work.</u>		
7.		<u>Terms and Conditions.</u>		
8.		<u>Transaction Forms.</u>		

CAL-Card Transactions				
Item	Agency Order Number(s)	Finding	Recommendation	Response
1.		<u>Authority.</u>		
2.		<u>Order Limits.</u>		
3.		<u>Purchase Approval.</u>		
4.		<u>Receipt.</u>		
5.		<u>Split Orders.</u>		